

I. INTRODUCTION

In May 2018, Jodi Rouviere and her husband filed a pro se federal civil complaint against DePuy Orthopaedics, Inc, Johnson & Johnson, Inc. (hereinafter “J&J”) and Howmedica Osteonics Corporation (hereinafter “HOC”) doing business as Stryker Orthopaedics with the Clerk, asserting product-liability claims under theories of failure to warn, negligence, strict liability, and breach of express and implied warranties. *DE# 1*. Rouviere filed an amended complaint. *DE# 26*. The Clerk ultimately assigned the case to Judge Lewis J. Liman on February 6, 2020.

The parties filed their respective certificate of interested parties and corporate disclosure statements. *See, DE# 40, 55*. An order was entered referring all non-dispositive matters to Magistrate Judge Stewart D. Aaron. *DE# 4*. At the time of assignment of the instant case to Judge Liman and Judge Aaron, Plaintiff was unaware that (1) Judge Liman had ownership of stock and monetary interest in J&J, which owned/owns DePuy; (2) Judge Aaron was actively receiving monies from his prior law firm who was actively representing J&J during the pendency of the instant case. *See Exhibits 1, 2, 3 and 4 hereto*.

During the pretrial proceedings and as shown below, Judge Aaron exercised his judicial discretion in dealing with matters/issues related to Plaintiff:

(1) DENIED Plaintiff’s request for an extension of time to designate their expert given their initial one withdrew just before the deadline and then criticized Plaintiff for not seeking the extension post-deadline. *DE# 157*.

(2) DENIED Plaintiff’s ability to present an expert opinion implicating liability of HOC. *DE# 193*.

(3) DENIED Plaintiff’s motion to compel DePuy to respond fully to interrogatories. *DE# 104*.

- (4) **LIMITED** Plaintiff's examination of DePuy's and HOC's witnesses on certain topics. *DE# 115, DE# 120.*
- (5) **DENIED** Plaintiff's motion to file second amended complaint. *DE# 136.*
- (6) **DENIED** Plaintiff's motion to compel DePuy's corporate representative to appear at deposition. *DE# 140.*
- (7) **LIMITED** Plaintiff to taking deposition of DePuy's Rule 30(b)(6) witness to one hour of deposition regarding its device. *DE# 144.*
- (8) **STRIKE** opinions of Plaintiff's expert witness, Dr. Jarrell, establishing DePuy's liability. *DE# 232.*
- (9) **DENIED** Plaintiff's motion for reconsideration. *DE# 266.*
- (10) **DENIED** Plaintiff's request to sanction DePuy's attorney Joe Eaton for mishandling Plaintiff's crucial material evidence: her explant, presenting misleading photos, and falsely claiming Plaintiff damaged the evidence. *DE# 83.*
- (11) **DENIED** Plaintiff's request to sanction HOC's withholding of Plaintiff's crucial material evidence: her unique 2019 tissue samples, making them undiscoverable by Plaintiff. Stryker's lawyer, Paul Asfendis, blatantly violated Discovery Rules, Rule 26b, HIPAA, Florida Statute 395.3025, and committed acts amounting to common law fraud, invasion of privacy, and breaches of attorney conduct rules, which Judge Aaron biasedly ignored. *DE# 296.*
- (12) **RESTRICTED**, by way of the protective order, Plaintiff from presenting critical evidence on the risks of metal-on-metal impingement, affecting the case's outcome. This restriction influenced Judge Liman's summary judgment decision by excluding crucial evidence regarding DePuy's failure to provide necessary warnings. Evidence underscored DePuy's omission of crucial warnings that could have informed both Dr. Buly and Plaintiff about the risks of metal wear, which they sought to avoid. Judge Aaron's disregard for these omissions further demonstrated a biased stance. *DE# 115, pp. 7-8.*
- (13) **DISMISSED** DePuy's misrepresentations as "ambiguity," showing a bias that significantly compromised Plaintiff's ability to fully present her case, as critical evidence and expert testimony were unjustly disregarded. *DE# 220, 225, 243, 244, 245, 250, 250-1, 258, 265, 266.*
- (14) **LIMITED**, disqualification of the conflicted expert to HOC, despite a similar conflict with DePuy. This forced Plaintiff to rely on an expert who was contracted by DePuy in another ongoing hip litigation, revealing bias that severely compromised Plaintiff's case. As a result, Plaintiff had to hire two separate engineering experts, neither of whom could address the combined impingement of the defendants' devices that caused the metal wear leading to her injuries. This restriction effectively limited expert opinions

on the metal-on-metal impingement central to Plaintiff's injuries. *DE# 193, DE# 232.*

Judge Liman exercised his discretion in overruling Plaintiff's objections to Aaron's above orders and adopting the orders in their entirety. *DE# 318.* Further, Judge Liman granted DePuy's motion for summary judgment, citing Plaintiff did not provide expert testimony establishing DePuy's liability. *Id.*² Liman also granted HOC's motion for summary judgment.³ *DE# 351, 352.*

Judge Liman owned stock in J&J at the time he was assigned the instant case. After DePuy filed their motion for summary judgment, he bought even *more* stock in J&J. Then, following his ruling, he sold all of the additional stock he had acquired during the motion's consideration and realized dividends of \$15,001 to \$50,000. *See Exhibit 4.*

On direct appeal, the Second Circuit affirmed Judge Liman's summary judgment in favor of DePuy and HOC, noting that Aaron's orders were reviewed for abuse of discretion or clear error. *See, Rouviere v. Howmedica Osteonics Corp.*, 2024 U.S. App. LEXIS 8201 (2d Cir. 2024).

Plaintiff now moves to vacate the final judgment in favor of DePuy and HOC under Fed. R. Civ. P. 60(b) due to the actual conflict of interest of Judge Liman and Judge Aaron had in the instant case, creating a significant appearance of bias against Plaintiff and in favor of DePuy and HOC. Both judges had financial ties to DePuy, with Judge Liman holding J&J stock before the case and buying and selling additional stock while issuing summary judgment decisions, thereby

² Reported at *Rouviere v. DePuy Orthopaedics, Inc.*, 560 F. Supp. 3d 774 (S.D.N.Y. 2021).

³ Reported at *Rouviere v. Howmedica Osteonics Corp.*, 645 F. Supp. 3d 157 (S.D.N.Y. 2022).

benefiting from the outcome.⁴

II. JURISDICTION

This Court has jurisdiction in reaching the merits of Plaintiff's Rule 60(b)(6) motion for relief from final judgment. *See, Fed. R. Civ. P. 60(b)(6)*. The U.S. Supreme Court has held that Fed. R. Civ. P. 60(b)(6) is the proper mechanism to obtain such relief. *See, Liljeberg v. Health Servs. Acquisition Corp.*, 486 U.S. 847, 863-64, 108 S. Ct. 2194, 100 L. Ed. 2d 855 (1988).⁵

Plaintiff requests the Court vacate the judgment and reopen the case with conflict-free judges.

III. STATEMENT OF FACTS

On May 31, 2018, Plaintiff Jodi Rouviere ("Plaintiff") and her husband filed a pro se product liability complaint against the following Defendants: DePuy Orthopaedics, Inc., DePuy Products, Inc., DePuy International, Limited, Johnson & Johnson, Inc., Johnson & Johnson

⁴ As shown below, the combination of the denials of Plaintiff's request for extensions of time, use of alternate expert witness after the Judges permitted the disqualification of Plaintiff's initial expert and other orders where the Judges' enjoyed wide discretion or latitude to grant or deny the relief requested by Plaintiff but chose to deny each time the requested relief by Plaintiff in order to protect their financial interest constitute exceptional circumstances warranting relief from judgment. *Stanley v. City Univ. of New York, John Jay Coll.*, 2020 U.S. Dist. LEXIS 217687 (S.D.N.Y. 2020) ("While Mr. Davy's conflict of interest and the poor quality of representation might not each on their own justify granting a Rule 60 motion, in combination they are sufficient to constitute exceptional circumstances warranting relief from judgment.") (citing *Church & Dwight Co. v. Kaloti Enters. of Mich., L.L.C.*, No. 07-cv-612, 2011 U.S. Dist. LEXIS 110955, 2011 WL 4529605, at *7-8 (E.D.N.Y. Sept. 28, 2011) (granting Rule 60(b)(6) motion due to combination of constructive abandonment and a conflict of interest). Although the court recognizes that vacating the judgment will prejudice Defendant, that harm is outweighed by the prejudice that would occur should Plaintiff be deprived a fair shot at pursuing his claims.)

⁵ "The Supreme Court vacated a judgment under Rule 60(b)(6) applying the "extraordinary circumstances" standard when the proceedings were marred by a severe ethical conflict by the trial judge. *Liljeberg*, 486 U.S. at 863-70.

Services, Inc., Stryker Corporation, Stryker Sales Corporation, and Howmedica Osteonics Corporation. *DE# 1*. On June 5, 2018, Judge Alison J. Nathan referred the case to Magistrate Judge Stewart D. Aaron. *DE# 4*.

After Defendants executed waiver of service of summons, Plaintiff filed an amended complaint. *DE# 26*. On December 7, 2018, Defendants DePuy and Johnson & Johnson filed their answer. *DE# 39*. Plaintiff voluntarily dismissed DePuy Products, Inc.; DePuy International, Limited; Johnson & Johnson; and Johnson & Johnson Services, Inc. from the case. *DE# 52*. HOC filed its answer to the amended complaint and corporate disclosure statement. *DE# 54, 55*.

A. The Plaintiff's amended complaint.

In 2009, Plaintiff injured her hip. In 2011, Plaintiff was diagnosed with Ehlers-Danlos Syndrome, a connective tissue disorder that causes structural weakness in connective tissue. *Rouviere v. DePuy Orthopaedics, Inc.*, 560 F. Supp. 3d 774, 781 (S.D. N.Y. 2021). In 2012, having continued pain and difficulty walking, Plaintiff had surgeon Dr. Robert Buly perform a total right hip replacement at a New York hospital. *Id. at 781*.⁶

Some four years after the surgery, Plaintiff “experienced chronic hip pain, dislocations, and other serious health problems.” *Id. at 782*. In 2016, during exploratory hip surgery, “Dr. Alvarado observed that the Stryker acetabular components were impinging with the DePuy stem

⁶ “The hip joint consists of a ball-and-socket mechanism. The ball sits at the top of the thigh bone, or femur. The socket (or acetabulum) is inside the pelvis. The ball rotates in the socket, giving the hip a wide range of motion. During a hip replacement surgery, these hip joints may be replaced by metal, plastic, or ceramic parts to recreate the ball-and-socket mechanism. *See id.* ¶¶ 19-20. At Rouviere's surgery, both the ball and the socket were replaced with artificial components.” *Rouviere*, 560 F. Supp. At 781.

and had created a notch in the neck of the stem.” Dr. Alvarado also discovered grayish-brown tissue in the surrounding area he identified as “metallosis”. The Plaintiff underwent a partial hip revision followed by six more surgeries in 2017, culminating in complete removal of her hip prosthesis, a girdlestone surgery, in October 2017. *Id.* (internal citations omitted).

The complaint alleged DePuy, HOC, and certain other defendants asserting claims of product liability under theories of negligence, strict liability, and breach of express and implied warranties. “The Rouviere’s theory of the case is that the DePuy titanium stem impinged with the Stryker cobalt-chrome liner, releasing toxic metals into Jodi Rouviere’s body.” “Those metals caused various ailments in Rouviere, including metallosis.” *Id. at 782.*

B. Judge Aaron’s and Judge Liman’s Financial Interest in Defendants

In 2019 and thereafter, Judge Aaron received substantial annual partnership payments of \$168,723 from Arnold & Porter, a law firm representing J&J, DePuy’s parent company (*see Exhibits 1-3*). Upon the assignment of the instant case Judge Liman invested in and had ownership of J&J stock. While deciding on DePuy’s summary judgment motion, he purchased additional J&J stock. Following his ruling in DePuy’s favor, he sold that stock, earning dividends between \$15,001 and \$50,000. *See Exhibit 4.*

C. Adverse Rulings By Judge Aaron Against Plaintiff

While receiving partnership payments from Arnold & Porter—funds linked to legal services provided to J&J—Judge Aaron used his discretion to deny Plaintiff the opportunity to present expert testimony and evidence critical to proving her case. Additionally, Judge Aaron exercised his discretion and excused HOC and its attorneys’ misconduct in concealing crucial

material evidence.

1. Denial of extension of time to obtain an alternate expert: Plaintiff employed an expert engineer to render an opinion in support of her claims. However, just before the deadline, this expert decided not to participate in the case. Plaintiff immediately filed a motion to extend the time to obtain and file the opinion of a new expert. Judge Aaron, using his wide discretion, denied Plaintiff's reasonable request for a one-week extension. Regardless of this pre-deadline request Judge Aaron denied, he criticized Plaintiff for not seeking the extension *post*-deadline. *DE# 152, DE# 157.*

2. Denial of Plaintiff's Expert Testimony Implicating Howmedica: Plaintiff was denied the opportunity to present expert testimony implicating HOC's liability when the court disqualified the expert over an alleged conflict. Exercising broad discretion, Judge Aaron granted HOC's motion, preventing the expert from testifying. *DE# 193.*

3. Denial of Plaintiff's motion to compel DePuy to respond fully to Interrogatories: Plaintiff's motion to compel DePuy to fully respond to interrogatories was denied by Judge Aaron, who used his broad discretion to rule in DePuy's favor, limiting Plaintiff's ability to obtain critical discovery. *DE# 104.*

4. Limited Plaintiff's examination of DePuy/Howmedica's witnesses: Judge Aaron exercised his discretion to restrict Plaintiff from questioning DePuy's and HOC's witnesses on specific and material topics critical to her case, limiting Plaintiff's ability to fully examine key issues during testimony. *DE# 115, DE# 120.*

5. Denial of Plaintiff's request to file a second amended complaint: Judge Aaron,

using his discretion, denied Plaintiff's request to file a second amended complaint, preventing her from addressing and incorporating additional claims or facts crucial to her case. *DE# 136*.

6. Denial of Plaintiff motion to compel: Judge Aaron, using his discretion, denied Plaintiff's motion to compel DePuy's corporate representative to appear at deposition. *DE# 140*.

7. Limiting Plaintiff's examination of DePuy's witnesses: Judge Aaron, using his discretion, denied Plaintiff's motion to compel DePuy's corporate representative to appear for deposition, hindering Plaintiff's ability to gather critical testimony for her case. *DE# 144*.

8. Striking of the opinion of Plaintiff's expert establishing liability on DePuy: Judge Aaron, using his discretion, improperly struck Plaintiff's expert Dr. Jarrell's testimony on DePuy's liability, despite ongoing expert discovery, prejudicing Plaintiff's case. *DE# 232*. This was particularly unjust as Jarrell's testimony aligned with the previously disqualified expert. *DE# 233-25*. Plaintiff expected one expert to address how components from both manufacturers caused metal impingement leading to her injuries. Instead, Judge Aaron required two experts, neither of whom could fully opine on the combined effects, then limited Dr. Jarrell to the disqualified expert's restricted testimony and struck his key opinions related to DePuy. *DE# 232, DE# 266*. Aaron's biased dismissal of evidence linking DePuy's stem to excessive metal wear debris and Plaintiff's injuries (*DE# 233-25, pp. 10-12*) led to summary judgment in DePuy's favor (*DE# 318, pp. 23-24*), severely undermining Plaintiff's case.

9. Denial of Plaintiff's motion for reconsideration: Judge Aaron exercised his discretion to deny the Plaintiff's motion for reconsideration. *DE# 266*.

10. Denial of Plaintiff's request to sanction DePuy and its counsel for discovery

violations: Judge Aaron exercised his discretion to deny the Plaintiff's request to sanction DePuy and its attorney, Joe Eaton, for mishandling crucial material evidence: her explant, when he presented misleading photos, and falsely claimed Plaintiff damaged the evidence. *DE# 83.*

11. Denial of Plaintiff's request to sanction HOC's withholding of crucial material

evidence; her unique 2019 tissue samples: Judge Aaron, using his wide discretion, denied the Plaintiff's request to sanction HOC for withholding crucial material evidence: her unique 2019 tissue samples, rendering them undiscoverable. HOC's attorney, Paul Asfendis, violated Discovery Rules, HIPAA, Florida Statute 395.3025, and committed acts amounting to fraud, invasion of privacy, and breaches of attorney conduct rules, which Judge Aaron biasedly overlooked. *DE# 296.*

12. Restriction of critical evidence: Judge Aaron issued a protective order restricting the Plaintiff from presenting critical evidence on the risks of metal-on-metal impingement, significantly impacting the case's outcome. This exclusion of key evidence regarding DePuy's failure to provide necessary warnings influenced Judge Liman's summary judgment decision. Evidence indicated that DePuy omitted warnings that could have informed both Dr. Buly and the Plaintiff about the risks associated with metal-on-metal implants. Risks they both sought to avoid by not using a metal-on-metal implant. Judge Aaron's dismissal of these omissions further revealed bias in the proceedings. *DE# 115, pp. 7-8.*

13. Dismissal of DePuy's misrepresentations: Judge Aaron, using his discretion, dismissed attorney J.T. Larson for misrepresenting the disqualified expert's involvement in other

litigation, labeling it as mere "ambiguity." This decision unjustly disregarded critical evidence and expert testimony, limiting the experts' ability to examine the metal-on-metal impingement caused by both manufacturers' devices, which led to the Plaintiff's injuries. Consequently, the Plaintiff's ability to fully present her case was undermined. *DE# 220, 225, 243, 244, 245, 250, 250-1, 258, 265, 266.*

14. Limited disqualification of the conflicted expert: Judge Aaron, using his discretion, limited the disqualification of the conflicted expert to HOC despite his similar conflict with DePuy. This forced Plaintiff to continue to rely on an expert contracted by DePuy in another ongoing case, revealing bias that severely compromised her case. Consequently, Plaintiff was forced to hire two separate engineering experts, neither of whom could address the combined impingement of the defendants' devices that caused the metal wear leading to her injuries. This biased restriction effectively limited expert opinions on the metal-on-metal impingement central to the Plaintiff's case. *DE# 193, DE# 232.*

D. Adverse Rulings By Judge Liman Against Plaintiff:

Judge Liman used his discretion and overruled the Plaintiff's objections to Judge Aaron's orders, adopting them in their entirety. *DE# 318.* He also granted DePuy's motion for summary judgment, stating that the Plaintiff failed to provide expert testimony establishing DePuy's liability. *Id.*⁷ Additionally, he granted HOC's motion for summary judgment.⁸ *DE# 351, 352.*

Despite acknowledging DePuy's inadequate warnings about component impingement and

⁷ Reported at *Rouviere v. DePuy Orthopaedics, Inc.*, 560 F. Supp. 3d 774 (S.D.N.Y. 2021).

⁸ Reported at *Rouviere v. Howmedica Osteonics Corp.*, 645 F. Supp. 3d 157 (S.D.N.Y. 2022).

metal debris, Judge Liman dismissed their relevance to the Plaintiff's injuries, indicating bias. He misrepresented the warnings in DePuy's Instructions for Use (IFU), which did not address the mixing of the manufacturers' devices. *DE# 318*.

Judge Liman noted DePuy's warnings "did not portray with sufficient intensity the risk involved" (*DE# 318, p. 30*). Despite this, he dismissed the Plaintiff's evidence and ignored the direct link between DePuy's missing warnings and Plaintiff's injuries. This dismissal reflects a troubling bias in favor of the defense.

Judge Liman's ruling on the Rastelli rule demonstrates clear bias and misinterpretation of the evidence. He incorrectly stated that DePuy's IFU warned against mixing components from different manufacturers, while it only addressed temporary plastic components used during surgery, not permanent metal implants (*DE# 179, pp. 13, 31*). Despite acknowledging the lack of such warnings, Judge Liman misquoted them, showing bias towards the defendants by inconsistently applying the law and ignoring proximate causation.

Judge Liman's actions indicate either troubling ignorance or deliberate oversight regarding the lack of adequate warnings and their impact on Plaintiff and her case. His dismissal of Plaintiff's argument about insufficient warnings on metal-on-metal impingement, despite acknowledging their absence, and his erroneous claim that Plaintiff failed to specify these risks, further highlight a bias in the defense's favor. *DE# 318, pp. 27-33, 29 (Footnote 7), p. 35:2-3*.

Judge Liman's handling of Plaintiff's testimony shows bias against her. Although he acknowledged metal-on-metal impingement and wear debris from mixing components were the key issues, he reassigned the key issue to the irrelevant chemistry of DePuy's stem. This allowed

him to evade the Plaintiff's vital testimony that she would not have consented to surgery had she been warned about the risks of metal wear debris from the defendants' devices that caused her injuries. *DE# 351, p. 1; DE# 318, p. 1, 37-38, 37 (Footnote 8)*.

Judge Liman disregarded the Plaintiff's clear statement that she would have refused surgery if informed about the risks of metal wear and metal-on-metal interaction. In his Summary Judgment Order, he fixated on a clerical error in Plaintiff's deposition citation regarding her refusal based on metal wear. Despite acknowledging the testimony, he claimed he couldn't find the citation, yet referenced it only to dismiss it, asserting her refusal was not solely due to the stem's chemistry. *DE# 318, p. 1; DE# 351, p. 1*. This misrepresents the key issues and Plaintiff's claims, which focused on injuries from metal wear debris, not the stem's chemistry. This selective interpretation of evidence reveals clear bias and undermines the fairness of the judicial process. *DE# 316-6, p. 152:10-152:24, 290:25-293:10; DE# 313, DE# 316, 316-6, 316-11; DE# 318, p. 37 (Footnote 8)*.

Judge Liman's handling of Dr. Buly's and the expert's testimony shows clear bias against Plaintiff. Although he acknowledged that DePuy's warnings failed to address risks related to mixing components, impingement, and metal wear debris, he dismissed Dr. Buly's crucial testimony. Dr. Buly testified that he relied on DePuy's Instructions for Use (IFU), which did not adequately warn about these risks, and he would have avoided using the components if properly warned. *DE#-231-1, p. 37:2-7*.

Judge Liman incorrectly stated that Dr. Buly was aware of the impingement risk, contradicting Dr. Buly's testimony and Liman's own acknowledgment of DePuy's inadequate

warnings about post-surgery metal impingement. Liman agreed this was distinct from intra-surgery component impingement referenced in the IFU, which Dr. Buly managed through proper positioning. *DE# 318, p. 31, DE# 231-1, p. 136:9-139:9, 30:12-30:25, 134:21-135:1, DE# 316-1, pp. 202:15-24, 203:3-7, 224:13-23, 226:8-230:15, 244:9-250:11, DE# 316-2, DE# 316-3, DE# 318, pp. 27-32.*

Judge Liman disregarded crucial testimony from the Plaintiff's expert, Dr. Jarrell, who indicated that a reasonable surgeon would avoid such components if properly warned of the risks and that the lack of adequate warnings directly contributed to the Plaintiff's injuries. His dismissal of this evidence and the summary judgment favoring DePuy reveal a troubling bias against the Plaintiff. *DE# 239-1; DE# 239-2.*

In another bias action against Plaintiff, Judge Liman shifted focus away from the core issues of metal wear and impingement to the irrelevant chemistry of DePuy's titanium stem, ignoring evidence central to Plaintiff's injuries.

Judge Liman acknowledged the "heart of Plaintiff's claims" was impingement and metal debris causing metallosis, and DePuy's warnings were insufficient (*DE# 351, pp. 12-13, DE# 318, pp. 27-32*). However, he inexplicably shifted focus to the titanium stem's chemistry, irrelevant to the core issues, and dismissed evidence related to the real issues; risks of metal wear and debris from impingement. Judge Liman ignored Dr. Buly's testimony that he would have avoided using these components if warned about their metal-on-metal risks and that titanium sheds metal debris from metal-on-metal impingement that leads to metallosis. (*DE# 231-1, p. 31:20-23.*) He also overlooked evidence that DePuy's stem contributed to dangerous metal

impingement and metallosis by shedding excess titanium debris into Plaintiff's hip tissue. *DE# 318, p. 29; DE# 233-7; DE# 290-6; DE# 304; DE# 239-1.*

Despite knowing that DePuy did not provide adequate warnings about the dangers of metal impingement, Judge Liman's conclusion that additional warnings would not have changed the surgical approach blatantly disregards key testimony and underscores his bias against the Plaintiff.

Judge Liman's ruling on the statute of limitations (SOL) for DePuy and HOC shows clear bias against Plaintiff. He unfairly penalized her for not recognizing metallosis, an asymptomatic condition until diagnosed in surgery. While he acknowledged metallosis was the primary condition under CPLR 214-c(2), he wrongly barred Plaintiff's claims by conflating her other medical symptoms with metallosis asserting she discovered it before 2016. This misinterpretation ignored medical evidence which aligned with the FDA's acknowledgment that metallosis is asymptomatic and only detectable during surgery. *DE# 351, and at pp.12-15, 18, 20-28, 32, FDA: <https://wayback.archive-it.org/7993/20201225231717/https://www.fda.gov/media/132446/download>, pp. 31, 56, 73, 74, 78, 84, 87, DE# 231-1, p. 143:19-23, DE# 351 p. 15, DE# 290-6, pp. 59:18-60:4, 118:6-9, DE# 231-2, pp. 49:16-25, 90:21-25, Exhibit 48, pp. 44, 194, 212-214, 225, 230.*

Judge Liman dismissed the critical fact that Plaintiff's metallosis was first diagnosed in November 2016. He incorrectly asserted that she failed to clearly articulate her claims and discovery date, stating she only cited the revision surgery as her injury. *DE# 351, p. 25, 26.* Liman's ruling reveals inconsistency and bias. Although he acknowledged metallosis as the main

injury and noted that the Plaintiff did not suspect her symptoms were related until May 2015, and that her doctors identified the devices in question only during the revision in November 2016, he contradicted himself in order to biasedly benefit the defendants by ruling that she was aware of her injury before May 2015. *DE# 351, pp. 23-25.*

Judge Liman misrepresented the Plaintiff's experts, falsely implying they suggested awareness of metallosis before its 2016 discovery (*DE# 351, p. 21, 26*). This is not the case. The experts discussed metal wear debris as the cause of metallosis and secondary injuries, which do not trigger the SOL under CPLR 214-c(2). Judge Liman's selective interpretation of testimony demonstrates significant bias. *DE# 233-7; DE# 290-6; DE# 233-18; DE# 335-10; DE# 335-8; DE# 233-24.*

Judge Liman distorted facts to suggest that unrelated symptoms from the Plaintiff's severe cervical injury in early 2013 indicated metallosis, contradicting CPLR 214-c(2), which requires manifested symptoms to lead to the discovery of an injury. (*DE# 351, p. 16*). He improperly rebranded unrelated, otherwise diagnosed medical conditions as "side effects" of metallosis. Liman used Plaintiff's neurological symptoms, headaches, nausea, limb numbness, urinary urgency, tremors, and dysphagia as indicators of metallosis of the hip tissue, despite their undisputed lack of connection. Plaintiff's cervical injury resulted in surgery and a permanent spinal condition. Although Liman detailed these symptoms, he selectively omitted the critical diagnosis of the cervical injury and used them to prematurely trigger the statute of limitations for metallosis of the hip tissue. *DE# 341-1, p. 5-7 (#39-40, 42-45), DE# 233-16 and at pp. 95-149, DE# 233-17, DE# 346-7, p. 7-22, DE# 341-8.*

This selective misrepresentation of medical evidence reveals clear bias and undermines the credibility and fairness of his ruling (*DE# 351, pp. 3-6, 14-15, 19-24*). Ignoring the lack of evidence linking these symptoms to metallosis and unfairly criticizing the Plaintiff for alleged evidential shortcomings, Liman contradicted his own acknowledgment that she was unaware of metallosis symptoms until 2015, which were not diagnosed until November 2016 (*DE# 351, pp. 20, 23-24*). This selective recounting and omission of key details manipulated the facts to support a predetermined outcome in favor of the defendants (*DE# 351, p. 27*).

Additionally, Judge Liman did not require Stryker to define metallosis symptoms and failed to hold hearings to gather evidence. Testimony from Dr. Buly, Dr. Alvarado, and other experts indicated that metallosis is asymptomatic until visualized during surgery. Ignoring this, by prematurely applying the statute of limitations based on unrelated cervical symptoms, Judge Liman displayed clear bias in favor of the defense, unjustly denying the Plaintiff her day in court. His distortion of evidence and misrepresentation of the Plaintiff's unrelated severe medical conditions, alongside his acknowledgment that metallosis is asymptomatic, suggest a deliberate effort to penalize the Plaintiff unjustly (*DE# 351, p. 26*).

Judges Aaron and Liman's actions demonstrate a serious conflict of interest and bias against the Plaintiff. Judge Aaron received partnership payments from Arnold & Porter, which represents J&J (*see Exhibits 1-3*), while Judge Liman engaged in transactions involving J&J stock (*see Exhibit 4*), compromising judicial impartiality. As in *Caperton v. A.T. Massey Coal Co., Inc.* (556 U.S. 868 (2009)), their recusal was essential to maintain judicial integrity and ensure a fair trial for the Plaintiff. The judges' biased actions significantly hindered the

Plaintiff's ability to present her case, undermining justice.

E. Judge Liman buys and sells Johnson & Johnson stock while deciding on and after granting summary judgment.

Judge Liman owned J&J stock upon this case's assignment. He purchased additional stock after DePuy filed summary judgment. Following the entry of his order described above, Liman sold off the additional J&J stock receiving dividends of \$15,001 to \$50,000. *Exhibit 4.*

IV. REASONS FOR GRANTING RULE 60(b)(6) MOTION

Plaintiff asserts that there is ample evidence of bias and partiality by Judges Liman and Aaron during pretrial proceedings due to their financial interest in a favorable outcome for DePuy and HOC.

A. Rule 60(b)(6) is the proper vehicle to obtain relief from judgment

Rule 60 (b) provides that a court may relieve a party from a final judgment, order, or proceeding for the following reasons: "(1) mistake, inadvertence, surprise, or excusable neglect; (2) newly discovered evidence that, with reasonable diligence, could not have been discovered in time to move for a new trial under Rule 59 (b); (3) fraud, misrepresentation, or misconduct by an opposing party; (4) the judgment is void; (5) the judgment has been satisfied, released or discharged; it is based on an earlier judgment that has been reversed or vacated; or applying it prospectively is no longer equitable; or (6) any other reason that justifies relief." Fed. R. Civ. P. 60 (b).

"A motion under Rule 60 (b) must be made within a reasonable time—and for reasons (1), (2), and (3), no more than a year after the entry of the judgment or order." Fed. R. Civ. P. 60

(c)(1). Motions for relief under Rule 60 (b) are disfavored, and are reserved for exceptional cases. *United States v. Int'l Bhd. of Teamsters*, 247 F.3d 370, 391 (2d Cir.2001) ("A motion for relief from judgment is generally not favored and is properly granted only upon a showing of exceptional circumstances."); *Nemaizer v. Baker*, 793 F.2d 58, 61 (2d Cir.1986) ("Since 60 (b) allows extraordinary judicial relief, it is invoked only upon a showing of exceptional circumstances."). "The burden of proof is on the party seeking relief from judgment." *Int'l Bhd. of Teamsters*, 247 F.3d at 391. A party seeking relief pursuant to Rule 60 (b) normally must: "(1) support its motion with 'highly convincing' evidence; (2) show good cause for its failure to act sooner; and (3) prove that granting the motion will not impose any undue hardship on the other parties." *Canini v. United States DOJ Fed. Bureau of Prisons*, No. 04 Civ. 9049, 2008 U.S. Dist. LEXIS 24001, 2008 WL 818696 (S.D.N.Y. Mar. 26, 2008) (citing *Kotlicky v. United States Fidelity & Guar. Co.*, 817 F.2d 6, 9 (2d Cir. 1987)).

A party may move for relief from a final judgment based upon "newly discovered evidence that, with reasonable diligence, could not have been discovered in time to move for a new trial under [Federal Rule of Civil Procedure] 59(b)." *Fed. R. Civ. P. 60 (b)(2)*. As noted above, courts require "that the evidence in support of the motion to vacate a final judgment be highly convincing, that a party show good cause for the failure to act sooner, and that no undue hardship be imposed on other parties." *Howard v. MTA Metro-N. Commuter R.R.*, 866 F. Supp. 2d 196, 213-14 (S.D.N.Y. 2011) (quoting *Kotlicky*, 817 F.2d at 9).

Rule 60 (b)(6) "is a 'grand reservoir of equitable power to do justice in a particular case[,] ... [b]ut that reservoir is not bottomless.'" *Stevens v. Miller*, 676 F.3d 62, 67 (2d Cir. 2012)

(quoting *Matarese v. LeFevre*, 801 F.2d 98, 106 (2d Cir.1986)). A party seeking to avail itself of the relief under Rule 60(b)(6) must "demonstrate that extraordinary circumstances warrant relief." *Stevens*, 676 F.3d at 67 (internal quotations and citations omitted); *see also In re Terrorist Attacks on September 11, 2001*, 741 F.3d 353, 356 (2d Cir. 2013) (accord).

"Relief pursuant to Rule 60 (b)(6) is reserved for extraordinary circumstances outside the purview of Rule 60 (b)(1)-(5)." *Canale v. Manco Power Sports, LLC*, No. 06 CIV. 6131, 2010 U.S. Dist. LEXIS 69652, 2010 WL 2771871, at *4 (S.D.N.Y. July 13, 2010); *see also Int'l Bhd. of Teamsters*, 247 F.3d at 391-92 ("[I]f the reasons offered for relief from judgment can be considered in one of the more specific clauses of Rule 60 (b), such reasons will not justify relief under Rule 60 (b)(6)"). Of particular concern is that parties may attempt to use Rule 60 (b)(6) to circumvent the one-year time limitation in other subsections of Rule 60 (b). *Stevens*, 676 F.3d at 67 (citing *First Fidelity Bank, N.A. v. Gov't of Antigua & Barbuda-Permanent Mission*, 877 F.2d 189, 196 (2d Cir.1989)).

The Supreme Court has approved the use of Rule 60(b)(6) motion to seek vacatur of a final judgment where there is a valid violation of 28 U.S.C. § 455. *See, Liljeberg v. Health Servs. Acquisition Corp.*, 486 U.S. 847, 863 (1988).

B. Judge Aaron's financial interest in protecting Arnold & Porter's client Johnson & Johnson— owner of DePuy— necessitated sua sponte disqualification in this case.

After the parties submitted their disclosure statements, Judge Aaron should have disqualified himself due to his direct and indirect financial ties to DePuy. Judge Aaron was aware he was receiving partnership income from Arnold & Porter, a firm with J&J as a major

client. Despite this, he refused to disqualify himself and intentionally refused to, and failed to, disclose to Plaintiff his financial ties to Arnold & Porter, whose principal client and revenue maker for the law firm was J&J. *See Exhibit 1, Exhibit 2, Exhibit 3.*

Title 28 U.S.C. § 455(a) states, in relevant part, that a judge "shall disqualify himself in any proceeding in which his impartiality might reasonably be questioned." §455(a) has been described as a "catchall recusal provision," *In re Aguinda*, 241 F.3d 194, 200 (2d Cir. 2001) (*quoting Liteky v. United States*, 510 U.S. 540, 548, 114 S. Ct. 1147, 127 L. Ed. 2d 474 (1994) (internal quotation marks omitted)), that "governs circumstances that constitute an appearance of partiality, even though actual partiality has not been shown," *Chase Manhattan Bank v. Affiliated FM Ins. Co.*, 343 F.3d 120, 127 (2d Cir. 2003). A judge need not have actual knowledge of the disqualifying circumstance for §455(a) to apply. *Liljeberg v. Health Servs. Acquisition Corp.*, 486 U.S. 847, 859, 108 S. Ct. 2194, 100 L. Ed. 2d 855 (1988). That is because the purpose of §455(a) is "to promote public confidence in the integrity of the judicial process," which "does not depend upon whether or not the judge actually knew of facts creating an appearance of impropriety, so long as the public might reasonably believe that he or she knew." *Id.* at 860. Accordingly, the test for whether an appearance of partiality exists "is an objective one based on what a reasonable person knowing all the facts would conclude." *Chase Manhattan Bank*, 343 F.3d at 127; *see Aguinda*, 241 at 201 ("Where a case, by contrast, involves remote, contingent, indirect or speculative interests, disqualification is not required." (*quoting United States v. Lovaglia*, 954 F.2d 811, 815 (2d Cir. 1992))).

Among the circumstances requiring disqualification, §455(b)(4) provides, in relevant

part, that a judge "shall also disqualify himself" when "[h]e knows that . . . his spouse . . . has a financial interest in the subject matter in controversy or in a party to the proceeding, or any other interest that could be substantially affected by the outcome of the proceeding." 28 U.S.C. §455(b)(4). Section 455(c) imposes the additional duty that a federal judge "should inform himself about his personal and fiduciary financial interests and make a reasonable effort to inform himself about the personal financial interests of his spouse." As relevant to the current proceedings, §455(d)(4) defines "financial interest" as an "ownership of a legal or equitable interest, however small."

Unlike §455(a), covering even the appearance of partiality, §455(b)(4)'s requirement applies only when the judge knows about the disqualifying circumstance. *Liljeberg*, 486 U.S. at 859. Even then, however, the existence of a financial interest on the part of a judge's spouse is not always grounds for automatic disqualification, as a judge may avoid disqualification if he "discloses and divests [the] financial interest." *Chase Manhattan Bank*, 343 F.3d at 127.

Since 2019, Judge Aaron received substantial annual partnership payments of \$168,723 from Arnold & Porter, a law firm representing J&J, which owns DePuy. (*See Exhibit 1-3*). These payments continued after he was assigned to this case, creating a clear conflict of interest. Similarly, Judge Liman's financial disclosure for 2021-2022 shows investments in J&J, including existing stock at the time of his case assignment and transactions during his rulings on DePuy's summary judgment, from which he realized dividends of \$15,001 to \$50,000. (*See Exhibit 4*.)

Such financial ties should have prompted both judges to disqualify themselves, raising

the question: *why didn't Judge Aaron and Judge Liman disqualify themselves?* A reasonable person might conclude that the judges were protecting their financial interests in J&J stock and in Judge Aaron's former law firm's client. Judge Aaron's payments from Arnold & Porter while the firm represented J&J may have incentivized him to dismiss or limit parts of the Plaintiff's expert witness opinion regarding DePuy, a viewpoint likely to resonate with a reasonable observer in New York City.

**C. Judge Liman's Financial Interest in Johnson & Johnson and DePuy –
The Evidence.**

The evidence clearly shows that (1) J&J owns DePuy; (2) Judge Liman owned J&J stock before this case began; and (3) Judge Liman purchased additional J&J stock upon receiving DePuy's summary judgement and then sold it immediately after final orders favoring DePuy and HOC were entered in which he received dividends. These facts suggest significant bias and partiality from Judge Liman. His financial interest in the case should have prompted him to disclose his conflict to the Plaintiff or to disqualify himself from any related proceedings.

The Judges collaborated for their own financial benefit. Judge Aaron consistently ruled against the Plaintiff on reasonable requests to support her case against DePuy and HOC, while Judge Liman upheld all of Judge Aaron's orders during discovery, claiming no abuse of discretion. Given Judge Liman's own financial interest in protecting the defendants, a reasonable person might understand why Judge Aaron's rulings were so harsh against the Plaintiff, with Judge Liman effectively endorsing those decisions.

Judge Liman's 2021-2022 financial disclosures revealed investments in J&J which

included stock transactions while and after ruling on DePuy and HOC's motions for summary judgment and objections to Judge Aaron's discovery rulings which he received cash dividends between \$15,001 and \$50,000. *See Exhibit 4*. This raises the question: why didn't Judge Liman inform the Clerk about his stock ownership in J&J, unlike he did in *Tiffany and Company v. Costco Whole Corporation* No. 1:13-cv-01041-LJL-DCF (S.D.N.Y.), where he disclosed his wife's stock in Costco? *See Exhibit 5 hereto*.

E. Plaintiff acted without delay in finding and presenting the evidence in support of her claims in the instant motion to the Court.

As evidenced by Plaintiff's declaration attached hereto as *Exhibit 6* and incorporated herein as if fully copied hereat, she was informed of the financial interests of Judge Liman and Judge Aaron detailed above in July 2024. After obtaining the evidence establishing the financial interests of Judge Liman and Judge Aaron in or related to J&J, Plaintiff filed the instant Rule 60(b)(6) motion.

A party who seeks relief under Rule 60(b)(6) must do so within a reasonable time. *See Fed R. Civ. P. 60(c)(1)*. The reasonableness inquiry is an "elastic concept" through which the Court considers the particular circumstances of the case. *Saleh v. United States*, 2014 U.S. Dist. LEXIS 108752, 2014 WL 3855022, at *3 (S.D.N.Y. July 31, 2014) (citing *PRC Harris, Inc. v. Boeing Co.*, 700 F.2d 894, 897 (2d Cir. 1983)). Courts assess reasonableness by balancing the interest in finality and the reasons for delay. *Yi Chen v. United States*, 2016 U.S. Dist. LEXIS 16364, 2015 WL 519617, at *3 (S.D.N.Y. Feb. 3, 2016) (quoting *Saleh*, 2014 U.S. Dist. LEXIS 108752, 2014 WL 3855022, at *3).

The Plaintiff had every reason to believe that each judge reviewed the case's interested parties and corporate disclosure statements, which identified J&J as a defendant. The Plaintiff understood that both judges had an obligation to recuse or disqualify themselves if they held a financial interest in any of the defendants. Who better than Judge Liman and Judge Aaron to determine their own disqualifications? This was the Plaintiff's reasonable assumption.

Had the Plaintiff not been lulled into believing that Judge Aaron and Judge Liman had no financial interest in J&J or DePuy, she would have moved to recuse both judges. Given the Plaintiff's testimony, the current motion is timely filed and supported by the evidence presented.

V. CONCLUSION

WHEREFORE, the Plaintiff Jodi Rouviere requests this Court to grant the instant motion to vacate the final judgment entered in favor of DePuy and Howmedica and against Plaintiff based on the forgoing verified facts, evidence and law; and enter an order granting same and vacating the final judgments entered in the instant case. Plaintiff requests other relief this Court deems proper and just under the circumstances.

October 22, 2024
Miami, Florida

Respectfully submitted,



Jodi Rouviere
10950 Southwest 84th Court
Miami, FL 33156-3526
(305)608-8076
jodi.jtm@gmail.com
Appearing pro se

VERIFICATION

UNDER PENALTIES OF PERJURY UNDER THE LAWS OF THE UNITED STATES OF AMERICA PURSUANT TO 28 U.S.C. § 1746 and Fla. Stat. § 92.525, I, JODI ROUVIERE, DECLARE THAT I HAVE READ THE FOREGOING MOTION TO VACATE AND EXHIBITS THERETO AFFIRM THAT THE FACTS STATED HEREIN ARE TRUE AND CORRECT, done on this 22nd day of October 2024.


JODI ROUVIERE

CERTIFICATE OF SERVICE

I hereby certify that the foregoing Motion and exhibits attached thereto were filed with the Clerk of the Court and served in accordance with the Federal Rules of Civil Procedure, and/or the Southern District's Local Rules, and/or the Southern District's Rules on Electronic Service upon the following parties and participants by email and U.S. mail postage prepaid 1st class on this 22nd day of October 2024.:

Paul E. Asfendis
GIBBONS, P.C.
One Pennsylvania Plaza
New York, NY 10119
PAsfendis@gibbonslaw.com

Joseph G. Eaton
J.T. Larson
Barnes & Thornburg, LLP
11 South Meridian Street
Indianápolis, Indiana 46204
Joe.Eaton@btlaw.com


Jodi Rouviere

EXHIBIT 1

AO 10
Rev. 1/2021**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2021***Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)*

1. Person Reporting (last name, first, middle initial) Aaron, Stewart D.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 03/10/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2021 to 12/31/2021
7. Chambers or Office Address U.S. Courthouse 500 Pearl Street New York, New York 10007		
<p align="center">IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p>		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)☐ NONE (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

1. New York County Lawyers Association	Director
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)☐ NONE (No reportable agreements.)DATEPARTIES AND TERMS

1. 2017	Payments under Articles of Partnership of Arnold & Porter Kaye Scholer LLP for a five-year term starting in 2019
2.	
3.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2021	Arnold & Porter Kaye Scholer LLP (nonemployee compensation agreement)	\$168,723.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2021	Self-Employed (artist)
2.	
3.	
4.	

IV. REIMBURSEMENTS - *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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Name of Person Reporting

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Aaron, Stewart D.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. City National Bank (cash)	A	Interest	K	T					
3. Ally Online Savings Ally Bank (cash)	A	Interest	M	T					
4. American Express Bank (cash)	A	Interest	L	T					
5. Purepoint Financial (cash)	A	Interest	M	T					
6. Synchrony Bank (cash)	A	Interest	N	T					
7. TD Bank (cash) (Y)									
8. Lincoln Life Assurance Co. of Boston Fixed Annuity	B	Interest	M	T					
9. New York Life Insurance Co. Whole Life Account #1		None	M	T					
10. New York Life Insurance Co. Whole Life Account #2		None	M	T					
11. Account #1 (H)									
12. Charles Schwab Bank Sweep (cash)	A	Interest	J	T					
13. First Trust North American Emerg ETF (EMLP)	C	Dividend	M	T	Buy	07/23/21	K		
14. iShares Core MISC EAFE ETF (IEFA)	D	Dividend	N	T					
15. iShares Core S&P Small Cap ETF (IIR)	A	Dividend	K	T	Buy	07/23/21	K		
16. iShares Gold Trust (IAU)		None	M	T	Buy	07/23/21	M		
17. iShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	C	Dividend	N	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Vanguard FTSE Emerging Mark ETF IV (VWO)	C	Dividend	M	T					
19. Vanguard Small Cap Value ETF (VBR)	C	Dividend	M	T					
20. Vanguard Total Stock Market ETF (VTI)	C	Dividend	N	T	Sold (part)	07/23/21	K	D	
21. DoubleLine Total Return Bond (DBLTX)	D	Dividend	M	T					
22. Metropolitan West Total Return Bond (MWTDX)	C	Dividend	M	T					
23. Vanguard Inter-Term Bond Index (VBILX)	D	Dividend	N	T					
24. Vanguard Short Term Bond (VBIRX)	D	Dividend	N	T					
25. Akre Focus Instl (AKRIX)	D	Dividend	M	T	Buy	07/23/21	M		
26. Cohen & Steers Preferred & Income (CPXXX)	D	Dividend	N	T					
27. Fidelity ADV Real Estate Income FD CL I (FRIRX)	A	Dividend	L	T					
28. Polen Growth Institution (POLIX)		None			Sold	07/23/21	M	E	
29. Account #2 (H)									
30. Schwab Government Money Fund (SWGXX) (cash equiv.) (Y)									
31. Schwab Value Advantage (SWVXX) (cash equiv.)	A	Dividend	N	T					
32. US Treasury NT (5 year) (9128284L1)	B	Interest	L	T					
33. Account #3 (H)									
34. iShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Vanguard Total Stock Market ETF (VTI)	A	Dividend	K	T					
36. Account #4 (H)									
37. Schwab US Trsy Money Inv (SNSXX)	A	Dividend			Sold	07/21/21	K		
38. Account #5 (H)									
39. Wilmington Govt MMkt (cash)	A	Dividend			Closed	03/02/21	J		
40. Account #6 (H)									
41. New York's 529 Interest Accumulation Portfolio		None			Sold	12/31/21	J		
42. Account #7 (H)									
43. New York's 529 Interest Accumulation Portfolio		None	J	T	Sold (part)	01/11/21	J		
44.					Sold (part)	05/17/21	J		
45.					Sold (part)	07/26/21	J		
46. Account #8 (H)									
47. NY 529 Conservative Age Based Option Blended Growth Port		None	J	T	Buy	12/31/21	J		
48. Account #9 (H)									
49. NY 529 Conservative Age Based Option Blended Growth Port		None	J	T	Buy	12/31/21	J		
50. Account #10 (H)									
51. NY 529 Conservative Age Based Option Blended Growth Port	A	Interest	J	T	Buy	12/31/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 E2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3 Value Method Codes (See Column C2)					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Account #11 (H)									
53. Fidelity Asset Manager 50% (FASMX)	B	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Parenthetical numbers in Part VII are CUSIP numbers.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Stewart D. Aaron**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

EXHIBIT 2

AO 10
Rev. 1/2021**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2022**Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Aaron, Stewart D.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 04/18/2023
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2022 to 12/31/2022
7. Chambers or Office Address U.S. Courthouse 500 Pearl Street New York, New York 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)☐ NONE (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

- | | | |
|----|-------------------------------------|----------|
| 1. | New York County Lawyers Association | Director |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)☐ NONE (No reportable agreements.)DATEPARTIES AND TERMS

- | | |
|---------|--|
| 1. 2017 | Payments under Articles of Partnership of Arnold & Porter Kaye Scholer LLP for a five-year term starting in 2019 |
| 2. | |
| 3. | |

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Aaron, Stewart D.

Date of Report

04/18/2023

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2022	Arnold & Porter Kaye Scholer LLP (nonemployee compensation agreement)	\$168,723.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2022	Self-Employed (artist)
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Aaron, Stewart D.

Date of Report

04/18/2023

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1. _____

2. _____

3. _____

4. _____

5. _____

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Aaron, Stewart D.

Date of Report

04/18/2023

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. City National Bank (cash)	A	Interest	J	T					
3. Ally Online Savings Ally Bank (cash)	C	Interest	M	T					
4. American Express Bank (cash)	C	Interest	L	T					
5. Synchrony Bank (cash)	D	Interest	M	T					
6. Protective Life (formerly Lincoln Life of Boston) Fixed Annuity	B	Interest	M	T					
7. New York Life Insurance Co. Whole Life		None	M	T					
8. Account #1 (H)									
9. Charles Schwab Bank Sweep (cash)	A	Interest	J	T					
10. First Trust North American Emerg ETF (EMLP)	C	Dividend	M	T					
11. Ishares Core MSCI Emerging ETF (IEMG)	B	Dividend	L	T	Buy	01/31/22	L		
12. IShares Core MSCI EAFE ETF (IEFA)	D	Dividend	M	T					
13. Ishares Core S&P Small Cap ETF (IJR)	A	Dividend	K	T					
14. Ishares Gold Trust (IAU)		None	M	T	Buy (add'l)	01/31/22	L		
15. IShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	C	Dividend	M	T	Sold (part)	01/31/22	M	E	
16. Proshares S&P 500 Div Aristocrat ETF (NOBL)	C	Dividend	M	T	Buy	01/31/22	M		
17. Vanguard FTSE Emerging Mark ETF IV (VWO)		None			Sold	01/31/22	M	E	

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Aaron, Stewart D.

Date of Report

04/18/2023

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Vanguard Small Cap Value ETF (VBR)	C	Dividend	M	T					
19. Vanguard Total Stock Market ETF (VTI)	C	Dividend	N	T					
20. DoubleLine Total Return Bond (DBLTX)	D	Dividend	M	T					
21. Metropolitan West Total Return Bond (MWTIX)	A	Dividend			Sold	01/31/22	M		
22. Vanguard Inter-Term Bond Index (VBILX)	D	Dividend	N	T	Sold (part)	02/10/22	K	A	
23.					Sold (part)	02/14/22	K	A	
24. Vanguard Short Term Bond (VBIRX)	C	Dividend	N	T	Sold (part)	02/01/22	L	B	
25.					Sold (part)	02/14/22	K	A	
26.					Sold (part)	03/15/22	J	A	
27. Virtus SEIX Floating Rate High Inc I (SAMBX)	D	Dividend	M	T	Buy	01/31/22	M		
28. Akre Focus Instl (AKRIX)	D	Dividend	M	T	Buy (add'l)	01/31/22	K		
29. Cohen & Steers Preferred & Income (CPXIX)	D	Dividend	M	T					
30. Fidelity ADV Real Estate Income FD CL I (FRIRX)	C	Dividend	L	T					
31. GQG Partners Emerging Markets Equist Inst (GQGIX)	C	Dividend	L	T	Buy	01/31/22	L		
32. Versus Capital Multi-Mgr Real Est Inc I (VCMIX)	C	Dividend	L	T	Buy	02/10/22	K		
33.					Buy (add'l)	02/14/22	K		
34. Account #2 (H)									

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Aaron, Stewart D.

Date of Report

04/18/2023

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Schwab Value Advantage (SWVXX) (cash equiv.)	A	Dividend	J	T	Sold (part)	05/31/22	M		
36.					Sold (part)	09/27/22	K		
37. US Treasury NT (5 year) (9128284L1)	B	Interest	K	T					
38. JPMorgan Chase Bank (cash)	A	Interest	K	T	Open	06/01/22	K		
39. UBS Bank (cash)	A	Interest	L	T	Open	06/02/22	L		
40. Wells Fargo Bank (cash)		None	K	T	Open	09/27/22	K		
41. Goldman Sachs Bank (cash)	A	Interest	L	T	Open	06/02/22	L		
42. Account #3 (H)									
43. iShares Trust iShares Edge MSCI Min Vol USA ETF (USMV)	A	Dividend	J	T					
44. Vanguard Total Stock Market ETF (VTI)	A	Dividend	K	T					
45. Account #4 (H)									
46. New York's 529 Interest Accumulation Portfolio		None	J	T	Sold (part)	01/04/22	J		
47.					Sold (part)	05/31/22	J		
48.					Sold (part)	08/22/22	J		
49.					Buy (add'l)	12/12/22	J		
50. Account #5 (H)									
51. NY 529 Conservative Age Based Option Blended Growth Port		None			Sold	01/31/22	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Aaron, Stewart D.

Date of Report

04/18/2023

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. New York's 529 Interest Accumulation Portfolio		None	K	T	Buy	01/31/22	J		
53.					Buy (add'l)	12/12/22	J		
54. Account #6 (H)									
55. NY 529 Conservative Age Based Option Blended Growth Port		None			Sold	01/31/22	J		
56. New York's 529 Interest Accumulation Portfolio		None	J	T	Buy	01/31/22	J		
57.					Buy (add'l)	12/12/22	J		
58. Account #7 (H)									
59. NY 529 Conservative Age Based Option Blended Growth Port		None			Sold	01/31/22	J		
60. New York's 529 Interest Accumulation Portfolio		None	J	T	Buy	01/31/22	J		
61.					Buy (add'l)	12/12/22	J		
62. Account #8 (H)									
63. Fidelity Asset Manager 50% (FASMX)	B	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Aaron, Stewart D.

Date of Report

04/18/2023

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Parenthetical numbers in Part VII are CUSIP numbers.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Aaron, Stewart D.

Date of Report

04/18/2023

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Stewart D. Aaron**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

EXHIBIT 3

Certification Battles

» Read the report.

Consumer Products & Retail

Corporate & Finance

Financial Technology

EXHIBIT 4

AO 10
Rev. 1/2022**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2021**Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Liman, Lewis J.	2. Court or Organization U. S. District Court, Southern District of New York	3. Date of Report 05/13/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2021 to 12/31/2021
7. Chambers or Office Address United States Courthouse 500 Pearl Street New York, NY 10007		
<p align="center">IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p>		

I. POSITIONS. (Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)☐ NONE (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

1. Trustee

Liman Foundation

2.

3.

4.

5.

II. AGREEMENTS. (Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)☐ NONE (No reportable agreements.)DATEPARTIES AND TERMS

1. 2003-2019

Cleary Gottlieb Steen & Hamilton LLP - retirement plan with former law firm; firm-managed asset selection

2.

3.

FINANCIAL DISCLOSURE REPORT

Page 2 of 28

Name of Person Reporting

Liman, Lewis J.

Date of Report

05/13/2022

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)***A. Filer's Non-Investment Income**☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Bar Council	October 22-24, 2021	Saratoga Springs, NY	Bench Bar Retreat & Education	Fall Retreat, hotel
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 28

Name of Person Reporting

Liman, Lewis J.

Date of Report

05/13/2022

V. GIFTS. (Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)☒ NONE (No reportable gifts.)SOURCEDESCRIPTIONVALUE

1. _____

2. _____

3. _____

4. _____

5. _____

VI. LIABILITIES. (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)☒ NONE (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 4 of 28

Name of Person Reporting

Liman, Lewis J.

Date of Report

05/13/2022

VII. INVESTMENTS and TRUSTS

-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
1. Retirement Account 1 Fidelity Investments (H)									
2. - Fidelity Investments, Investment Contracts Fund									
3. - Vanguard Target 2025									
4. Investment Account 1 Charles Schwab managed by KF Advisors (H)									
5. - Ishares Russell 2000 IWM	C	Dividend	N	T					
6. - JH Intl Growth Fund GOGIX	G	Dividend	O	T					
7. - Edgewood Growth Fund EGFIX		None			Sold	05/24/21	O	G	
8. - Touchstone Sands Emerging Markets Growth TSEGX	D	Dividend	N	T	Sold (part)	05/24/21	N	G	
9. - Aristotle Value Equity Fund ARSQX	E	Dividend	O	T	Sold (part)	05/24/21	O	G	
10. - Ishares Core S&P 500 Index ETF IVV		None			Sold	01/05/21	O	F	
11. - GQG Partners Global Quality Eqty Inst GQRX		None			Sold	05/24/21	P1	F	
12. - Grandeur Peak Intl GISYX	F	Dividend	O	T					
13. - PIMCO Short Term PTSHX	D	Dividend	O	T	Sold (part)	01/05/21	M		
14.					Sold (part)	04/06/21	N		
15.					Sold	05/24/21	P1	D	
16.					Buy	08/16/21	P1		
17. - River Canyon Total Return Bond Inst RCTIX	E	Dividend	O	T					

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market:	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
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18. - Vanguard Short Term Bond Fund VFSUX	E	Dividend	P1	T	Sold (part)	01/05/21	M	D	
19.					Sold (part)	04/06/21	N	C	
20.					Sold (part)	05/24/21	O	E	
21.					Buy (add'l)	08/16/21	O		
22. - Schwab Government Money Fund SNVXX	A	Dividend			Sold	01/05/21	P1		
23. - Schwab cash accounts	A	Interest	P1	T					
24. - Atara Biotherapeutic ATRA (X)		None			Sold	01/25/21	K	D	
25. - Wework Inc WE (X)		None			Sold (part)	11/03/21	L	E	
26.					Sold	12/17/21	K	C	
27. Investment Account 2 Schwab Charitable managed by KF Advisors (H)									
28. - Schwab Donor Advised - Janus Balanced Pool JABAX		None	K	T	Sold (part)	03/18/21	J	A	
29.					Sold (part)	12/20/21	J	C	
30. - Schwab Donor Advised - Manning & Napier Conservative Pool EXDAX		None	K	T	Sold (part)	03/18/21	J	A	
31.					Sold (part)	12/20/21	J	C	
32. Armistice LP	D	Dividend	O	U					
33. DAG Ventures V-QP, L.P.	A	Dividend	L	U					
34. Hawk Ridge Partners II LP	E	Dividend	P1	U					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Sculptor (OZ) Domestic Partners II LP	A	Dividend	L	U					
36. PIMCO BRAVO Fund III Onshore Feeder, L.P.	D	Dividend	N	U					
37. RCP Apex II Syndication Partners LP	A	Dividend	M	U					
38. Riverstone Credit Partners, L.P.	A	Dividend	J	U					
39. Solaris Ara Fund LP	E	Dividend	P1	U					
40. Summit Strategies COI Fund I, L.P.	C	Dividend	N	U					
41. CGSH Partners Investments, LLC	D	Dividend	N	U					
42. Retirement Account 2 Cash Balance Plan (H)									
43. - Fidelity Government Cash Reserves FDRXX		None	K	T					
44. - PIMCO Total Return Instl PTTRX		None	L	T					
45. - Vanguard International Value Port Inv CI VTRIX		None	J	T					
46. - Vanguard International Growth Admiral VWILX		None	J	T					
47. - Vanguard Hi Yield Corporate Admiral VWEAX		None	K	T					
48. - Fidelity Extended Market Index FSMAX		None	J	T					
49. - Fidelity 500 Index FXAIX		None	J	T					
50. - Fidelity Growth Company FDGRX		None	K	T					
51. - Fidelity Total Intl Index FTIHX		None	J	T					

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2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - DFA Global Real Estate DFGEX		None	J	T					
53. - JPMorgan Small Cap Growth JGSVX		None	J	T					
54. - Vanguard Equity Income Admiral VEIRX		None	K	T					
55. - Victory Sycamore Sm Co VSOIX		None	J	T					
56. - Fidelity U.S. Bond Index FXNAX		None	L	T					
57. - Fidelity Inflat-Prot Bd FIPDX		None	K	T					
58. - Fidelity Int'l Bond Index FBIIX		None	K	T					
59. - Fidelity Short Term Bond Index FNSOX		None	L	T					
60. JPMorgan Chase cash accounts		None	N	T					
61. Investment Account 3 Charles Schwab managed by KF Advisors (H)									
62. - Ark Innovation ETF ARKK	A	Dividend	L	T					
63. - Blackrock Strategy Income BSIIIX	B	Dividend	L	T					
64. - PIMCO Flexible Credit PFLEX	D	Dividend	L	T					
65. - Artisan International Value Fund APDKX	D	Dividend	L	T					
66. - Edgewood Growth Institutional EGFIX	C	Dividend	L	T					
67. - J Hancock Disciplined Value Cl 1 JVLIX	D	Dividend	L	T					
68. - Touchstone Sands Capital TSEGX	B	Dividend	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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69. - Vanguard 500 Index Fund VFIAX	B	Dividend	M	T					
70. - Vulcan Value Partners VVISX	D	Dividend	L	T					
71. - J Hancock Intl Growth Fund GOGIX	D	Dividend	L	T					
72. - Vanguard Short Term Bond Fund VFSUX	B	Dividend	L	T					
73. - Charles Schwab cash account		None	J	T					
74. Investment Account 4 Charles Schwab managed by KF Advisors (H)									
75. - Ark Innovation ETF ARKK	A	Dividend	L	T					
76. - Blackrock Strat Incm BSIIX	B	Dividend	L	T					
77. - PIMCO Flexible Credit PFLEX	D	Dividend	L	T					
78. - Artisan Intl Value Fund APDKX	D	Dividend	L	T					
79. - Edgewood Growth Instl EGFIX	C	Dividend	L	T					
80. - J Hancock Disciplined JVLIX	D	Dividend	L	T					
81. - Touchstone Sands Capital TSEGX	B	Dividend	L	T					
82. - Vanguard 500 Index Fd VFIAX	B	Dividend	M	T					
83. - Vulcan Value Partners VVISX	D	Dividend	L	T					
84. - J Hancock Intl Growth Fund GOGIX	D	Dividend	L	T					
85. - Vanguard Short Term Bond Fund VFSUX	B	Dividend	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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86. - Charles Schwab cash account		None	J	T					
87. Investment Account 5 Neuberger Berman (H)									
88. - Dreyfus Treasury Sec Cash Mgmt Admin DARXX	A	Interest							
89. - Air Products & Chem APD	A	Dividend							
90. - Alphabet Inc Cap Stk Cl A GOOGL		None							
91. - Amazon.com Inc AMZN		None							
92. - Ansys Inc ANSS		None			Sold (part)	03/05/21	J	B	
93.					Sold (part)	03/08/21	J	D	
94.					Sold (part)	03/11/21	J	D	
95.					Sold	03/12/21	J	D	
96. - Apple Inc AAPL	A	Dividend							
97. - Coca Cola Co KO	A	Dividend							
98. - Comcast Corp New Cl A CMCSA	A	Dividend							
99. - Eaton Corp OLC Com ETN	A	Dividend							
100. - Facebook Inc FB		None			Sold (part)	02/24/21	J	C	
101. - Home Depot Inc Com HD	A	Dividend							
102. - IHS Markit Ltd Com INFO	A	Dividend							

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103. - Johnson & Johnson JNJ	A	Dividend							
104. - Microsoft Corp MSFT	A	Dividend							
105. - Pfizer Inc PFE	A	Dividend			Sold	02/18/21	J	B	
106. - Regeneron Pharmaceuticals REGN		None							
107. - Union Pacific Corp. UNP	A	Dividend							
108. - Universal Display Corp OLED	A	Dividend							
109. - Visa Inc Com Cl A V	A	Dividend							
110. - Zoetis Inc Com UDS0.01 Cl A ZTS	A	Dividend			Sold (part)	03/08/21	J	D	
111. - Adaptive Biotechnologies Corp ADPT		None							
112. - Cintas Corp CTAS	A	Dividend							
113. - COSTCO Wholesale COST	A	Dividend							
114. - Draftkings DKNG		None							
115. - Nike Inc NKE	A	Dividend							
116. - Qualcomm QCOM	A	Dividend							
117. - T-Mobile TMUS		None							
118. - Tesla TSLA		None							
119. - Vertex Pharmaceuticals VRTX		None			Sold	04/30/21	J		

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120. - YETI Hldgs YETI		None			Sold (part)	03/11/21	J	D	
121. - Hologic Inc common stock HOLX		None			Buy	01/12/21	J		
122.					Buy (add'l)	01/13/21	J		
123.					Buy (add'l)	01/14/21	J		
124. - Viatris Inc common stock VTRS		None			Sold	02/01/21	J	A	
125. - Keurig Dr Pepper Inc common stock KDP	A	Dividend			Buy	03/19/21	K		
126. - Starbucks Corp common stock SBUX	A	Dividend			Buy	03/23/21	J		
127.					Buy (add'l)	03/24/21	J		
128.					Buy (add'l)	04/12/21	J		
129. - BHP Group PLC BBL		None			Buy	04/23/21	K		
130. - Peloton Interactive Inc CL A common stock PTON		None			Buy	04/19/21	J		
131.					Buy (add'l)	05/13/21	J		
132.					Buy (add'l)	05/14/21	J		
133. Retirement Account 3 TIAA (H)									
134. - TIAA Traditional		None	L	T					
135. - CREF Stock R2		None	M	T					
136. - TIAA Real Estate		None	K	T					

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137. - CREF Inf-Linked Bond R2		None	J	T					
138. Retirement Account 4 Charles Schwab IRA (H)									
139. - Alphabet Inc GOOGL		None			Sold	01/13/21	J	C	
140. - Bank of America Corp. common stock BAC		None							
141. - Ishares MSCI ACWI ETF ACWI		None							
142. - SPDR Dow Jones Industrial Avrg ETF DIA	A	Dividend							
143. - Charles Schwab cash account		None							
144. - Ishares MSCI Emerging Markets ETF EEM		None			Buy	01/13/21	K		
145. - VanEck Vectors Junior Gold Miners ETF GDXJ		None			Buy	01/13/21	J		
146. Investment Account 6 Morgan Stanley (H)									
147. - Legg Mason SCH Bal 50/50 0 SCBYX		None			Sold	07/20/21	M		
148. - Nuveen Co Bal Alloc PTF I CCFEX		None	L	T	Buy	07/20/21	M		
149.					Sold (part)	12/13/21	L	F	
150. Investment Account 7 Morgan Stanley (H)									
151. - Legg Mason SCH Bal 50/50 0 SCBYX		None			Sold	07/20/21	M	E	
152. - Nuveen Co Bal Alloc PTF I CCFEX		None	N	T	Buy	07/20/21	M		
153. Retirement Account 5 John Hancock managed by Wilmer Hale (H)									

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3 Value Method Codes (See Column C2)					

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
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154. - Vanguard Target Ret 2025 Inst		None							
155. Retirement Account 6 Richemont North America (H)									
156. - Prudential Principal Preservation Fund		None			Sold	10/19/21	J		
157. Investment Account 8 Charles Schwab managed by KF Advisors (H)									
158. - PIMCO Inflation Response Multi Asset Fund PIRMX	F	Dividend	O	T	Buy (add'l)	10/18/21	N		
159. - Schwab Government Money Fund SNVXX	A	Dividend			Sold	03/10/21	N		
160. - Charles Schwab cash account	A	Interest	K	T					
161. - PIMCO Short Term PTSHX	A	Dividend	N	T	Buy	10/18/21	N		
162. - River Canyon Total Return Bond Inst RCTIX	C	Dividend	N	T	Buy	10/18/21	N		
163. - Vanguard Short Term Bond Fund VFSUX	C	Dividend	N	T	Buy	10/18/21	N		
164. Fortress TSX Broadway LP		None	N	U					
165. Davidson Kempner Distressed Opportunities, LP	F	Dividend	P1	U					
166. Hudson Bay Fund LP	E	Dividend	P1	U	Buy	01/01/21	P1		
167. Oak Hill Capital Partners V (Onshore Feeder), L.P.	A	Dividend	K	U					
168. Rental Property, Rye, NY	E	Rent			Sold	09/01/21	P1	H1	
169. Retirement Account 7 Merrill (Bank of America Co) (H)									
170. - Merrill cash account		None							

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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171. Corner Ventures DAG Fund I-C LP	A	Interest	M	U	Buy	01/01/21	M		
172. Fifth Wall Ventures III LP		None	M	U	Buy	01/01/21	M		
173. Riverstone Credit Partners - Direct LP (X)	A	Dividend	M	U					
174. Investment Account 9 Charles Schwab Managed by KF Advisors (H)									
175. - Adaptive Biotechnologies Corp common stock ADPT		None			Buy	02/26/21	K		
176.					Buy (add'l)	03/09/21	J		
177.					Buy (add'l)	05/24/21	J		
178.					Sold	09/29/21	K		
179. - Alphabet Inc common stock GOOGL		None			Buy	02/03/21	K		
180.					Sold	10/27/21	K	D	
181. - Amazon.com Inc common stock AMZN		None			Buy	01/21/21	K		
182.					Buy (add'l)	03/11/21	J		
183.					Sold	10/27/21	K	B	
184. - Apple Inc common stock AAPL	A	Dividend			Buy	01/21/21	K		
185.					Buy (add'l)	03/09/21	J		
186.					Sold	10/27/21	K	D	
187. - BHP Group PLC common stock BBL	B	Dividend			Buy	04/06/21	K		

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2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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188.					Sold	11/15/21	K		
189. - Bumble Inc common stock BMBL		None			Buy	02/22/21	K		
190.					Buy (add'l)	03/08/21	J		
191.					Buy (add'l)	05/26/21	J		
192.					Sold	10/27/21	K		
193. - Cintas Corp common stock CTAS	A	Dividend	K	T	Buy	01/21/21	K		
194. - Comcast Corp common stock CMCSA	A	Dividend			Buy	02/03/21	K		
195.					Buy (add'l)	05/18/21	J		
196.					Sold	11/09/21	K	B	
197. - Costco Wholesale Co common stock COST	A	Dividend	K	T	Buy	01/21/21	K		
198. - Danaher Corp common stock DHR	A	Dividend	K	T	Buy	06/22/21	K		
199. - Defiance Nex Gen EFT FIVG	A	Dividend	L	T	Buy	11/09/21	K		
200. - Draftkings Inc common stock DKNG		None			Buy	01/21/21	K		
201.					Buy (add'l)	05/27/21	J		
202.					Sold	10/27/21	K		
203. - Eaton Corp PLC common stock ETN	A	Dividend	K	T	Buy	02/03/21	K		
204. - ETFMG Prime Cyber ETF HACK	A	Dividend	K	T	Buy	11/09/21	L		

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205. - Fluor Corp common stock FLR		None			Buy	03/12/21	K		
206.					Sold	05/21/21	K		
207. - Frequency Therapeutics I common stock FREQ		None			Buy	01/21/21	K		
208.					Sold	03/25/21	J		
209. - Ginkgo Bioworks H 26 WTF common stock DNAWS		None			Spinoff (from line 263)	09/17/21	K		
210.					Sold	10/11/21	J		
211. - Ginkgo Bioworks Holdings common stock DNA		None			Spinoff (from line 261)	09/17/21	J		
212.					Sold	10/06/21	K	D	
213. - Hologic Inc common stock HOLX		None			Buy	02/02/21	K		
214.					Sold	06/01/21	K		
215. - Home Depot Inc common stock HD	A	Dividend	K	T	Buy	01/21/21	K		
216.					Buy (add'l)	05/18/21	J		
217. - Innovator IBD 50 ETF FFTY	A	Dividend	L	T	Buy	11/09/21	L		
218.					Buy (add'l)	12/28/21	J		
219. - Intellia Therapeutics Inc common stock NTLA		None	K	T	Buy	05/28/21	K		
220. - Invesco QQQ Trust ETF QQQ	A	Dividend	L	T	Buy	10/28/21	L		
221.					Buy (add'l)	10/29/21	K		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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222. - Ishares Core S&P ETF IJR		None	K	T	Buy	12/23/21	K		
223. - Ishares Expanded TCH STX ETF IVG		None	K	T	Buy	11/09/21	K		
224. - Ishares Russell 2000 ETF IWM	A	Dividend	L	T	Buy	11/04/21	L		
225. - Johnson & Johnson common stock JNJ	A	Dividend			Buy	03/11/21	K		
226.					Sold	12/01/21	K		
227. - Keurig Dr Pepper Inc common stock KDP	A	Dividend			Buy	03/17/21	K		
228.					Sold	11/09/21	K	B	
229. - Microsoft Corp common stock MSFT	A	Dividend			Buy	01/22/21	K		
230.					Buy (add'l)	01/28/21	J		
231.					Sold	10/27/21	K	D	
232. - Moderna Inc common stock MRNA		None			Buy	05/24/21	K		
233.					Buy (add'l)	07/01/21	J		
234.					Sold	11/05/21	K	D	
235. - Nextera Energy Inc common stock NEE	A	Dividend			Buy	02/08/21	K		
236.					Buy (add'l)	03/09/21	J		
237.					Sold	11/23/21	K	C	
238. - Nike Inc common stock NKE	A	Dividend	K	T	Buy	01/21/21	K		

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239.					Buy (add'l)	03/08/21	J		
240.					Buy (add'l)	03/25/21	J		
241. - Nvidia Corp common stock NVDA	A	Dividend			Buy	02/24/21	K		
242.					Sold	10/27/21	K	D	
243. - Paypal Holdings Inc common stock PYPL		None			Buy	06/23/21	K		
244.					Buy (add'l)	07/29/21	J		
245.					Sold	10/27/21	K		
246. - Peloton Interactive Inc common stock PTON		None			Buy	04/15/21	J		
247.					Buy (add'l)	05/11/21	J		
248.					Buy (add'l)	05/12/21	J		
249.					Sold	08/26/21	K	C	
250. - Qualcomm Inc common stock QCOM	A	Dividend			Buy	01/21/21	K		
251.					Buy (add'l)	01/28/21	J		
252.					Buy (add'l)	02/04/21	J		
253.					Buy (add'l)	03/09/21	J		
254.					Buy (add'l)	05/24/21	J		
255.					Sold	10/27/21	K		

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256. - Regeneron Pharms Inc common stock REGN		None	K	T	Buy	01/21/21	K		
257.					Buy (add'l)	02/09/21	J		
258. - Select Sector Health ETF XLV	A	Dividend	L	T	Buy	11/09/21	L		
259. - Sentinelone Inc Class A common stock S		None			Buy	09/01/21	K		
260.					Sold	10/27/21	K		
261. - Soaring Eagle Acquis common stock NRNG (merged with line 211)		None			Buy	08/12/21	J		
262.					Merged (with line 1)	09/17/21	J		
263. - Soaring Eagle ACQ 26 UTF common stock SRNGU (merged with line 209)		None			Buy	03/03/21	K		
264.					Merged (with line 1)	09/17/21	K		
265. - Starbucks Corp common stock SBUX	A	Dividend	K	T	Buy	03/19/21	J		
266.					Buy (add'l)	03/22/21	J		
267.					Buy (add'l)	04/08/21	J		
268. - T-Mobile US Inc common stock TMUS		None			Buy	01/21/21	K		
269.					Sold	10/27/21	K		
270. - Union Pacific Corp common stock UNP	A	Dividend	K	T	Buy	01/21/21	K		
271. - Vanguard Financials ETF VFH	A	Dividend	L	T	Buy	10/28/21	L		
272. - Vanguard S&P 500 ETF VOO	A	Dividend	L	T	Buy	11/04/21	L		

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
273. - Visa Inc common stock V	A	Dividend			Buy	02/03/21	K		
274.					Sold	10/27/21	K	B	
275. - Zoetis Inc common stock ZTS	A	Dividend	K	T	Buy	05/21/21	K		
276. - Charles Schwab cash account (X)	A	Interest	L	T					
277. Citizens Wealth cash accounts (X)	A	Interest	O	T					
278. Investment Account 10 TIAA (H)									
279. - TIAA cash account	A	Interest	K	T					
280. - Adaptive Biotechnologies Corp common stock ADPT (X)		None			Sold	07/22/21	K	A	
281. - Air Products and Chemicals Inc common stock APD (X)	A	Dividend	K	T					
282. - Alphabet Inc common stock GOOGL (X)		None	L	T					
283. - Amazon.com Inc common stock AMZN (X)		None	L	T					
284. - Apple Inc common stock AAPL (X)	A	Dividend	L	T					
285. - BHP Group PLC common stock BBL (X)		None			Sold	07/22/21	K	A	
286. - Cintas Corp common stock CTAS (X)		None			Sold	07/22/21	K	B	
287. - Coca-Cola common stock KO (X)		None			Sold (part)	07/22/21	J	B	
288.					Sold	09/15/21	J	B	
289. - Comcast Corp common stock CMCSA (X)	A	Dividend	J	T	Sold (part)	07/22/21	K	D	

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
290. - Costco Wholesale Corp common stock COST (X)	A	Dividend	K	T					
291. - DraftKings Inc common stock DKNG (X)		None			Sold (part)	09/15/21	J	C	
292.					Sold	11/04/21	K	B	
293. - Eaton Corp PLC common stock ETN (X)	A	Dividend	K	T	Sold (part)	07/22/21	J	C	
294. - Hologic Inc common stock HOLX (X)		None			Sold	07/22/21	K		
295. - Home Depot Inc common stock HD (X)	A	Dividend	L	T					
296. - Ishares Russell 2000 Growth ETF IWO	A	Dividend	K	T	Buy	07/22/21	J		
297.					Buy (add'l)	09/15/21	J		
298. - Ishares Russell 2000 Value ETF IWN	A	Dividend	J	T	Buy	07/22/21	J		
299.					Buy (add'l)	09/15/21	J		
300. - Ishares Russell Mid-Cap Growth ETF IWP	A	Dividend	K	T	Buy	07/22/21	K		
301.					Buy (add'l)	09/15/21	K		
302. - Ishares Russell Mid-Cap Value ETF IWS	A	Dividend	L	T	Buy	07/22/21	J		
303.					Buy (add'l)	08/26/21	K		
304.					Buy (add'l)	11/04/21	J		
305. - Johnson & Johnson common stock JNJ (X)	A	Dividend	K	T					
306. - Keurig Dr Pepper Inc common stock KDP (X)		None			Sold	07/22/21	K	B	

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
307. - Meta Platforms Inc common stock FB (X)		None	K	T					
308. - Microsoft Corp common stock MSFT (X)	A	Dividend	L	T					
309. - Nike Inc common stock NKE (X)	A	Dividend	K	T					
310. - Peloton Interactive Inc common stock PTON (X)		None			Sold	08/26/21	K	C	
311. - Qualcomm Inc common stock QCOM (X)	A	Dividend	K	T					
312. - Regeneron Pharmaceuticals Inc common stock REGN (X)		None	K	T	Sold (part)	07/22/21	K	C	
313. - Starbucks Corp common stock SBUX (X)	A	Dividend	K	T					
314. - Tesla Inc common stock TSLA (X)		None			Sold	07/22/21	J	B	
315. - T-Mobile US Inc common stock TMUS (X)		None	K	T					
316. - Union Pacific Corp common stock UNP (X)	A	Dividend	K	T	Sold (part)	04/22/21	K	C	
317. - Universal Display Corp common stock OLED (X)		None			Sold	09/15/21	J	D	
318. - Visa Inc common stock V (X)	A	Dividend	K	T					
319. - YETI Holdings Inc common stock YETI (X)		None	K	T	Sold (part)	09/15/21	J	D	
320. - Zoetis Inc common stock ZTS (X)	A	Dividend	K	T					
321. - Harding Loevner Inst Emerging Markets HLMEX	A	Dividend	J	T	Buy	08/10/21	J		
322. - Harding Loevner Intl Equity HLMIX	A	Dividend	K	T	Buy	08/10/21	J		
323.					Buy (add'l)	09/15/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
324. - IHS Markit Ltd common stock INFO (X)	A	Dividend	K	T					
325. - Ishares Core MSCI EAFE ETF IEFA	A	Dividend	J	T	Buy	08/09/21	J		
326.					Buy (add'l)	06/15/21	J		
327. - Ishares Core MSCI Emerging Markets ETF IEMG	A	Dividend	J	T	Buy	08/09/21	J		
328. - Ishares Short-Term Nat Muni Bond ETF SUB	A	Dividend	J	T	Buy	09/15/21	J		
329. - Nuveen Intermed Dur Muni Bond Fund NUVBX	B	Dividend	L	T	Buy	07/23/21	L		
330.					Buy (add'l)	07/27/21	J		
331.					Buy (add'l)	11/04/21	J		
332. Retirement Account 8 TIAA (H)									
333. - TIAA cash account	A	Interest	J	T					
334. - Bank of America Corp common stock BAC (X)		None			Sold	07/22/21	J	D	
335. - Clearbridge Large Cap Growth Fund LSITX		None	J	T	Buy	07/22/21	J		
336.					Buy (add'l)	10/29/21	J		
337.					Buy (add'l)	12/29/21	J		
338. - Cohen & Steers Real Estate Fund CREFX	A	Dividend	J	T	Buy	10/29/21	J		
339. - FlexShares Quality Dividend Index Fund QDF	A	Dividend	J	T	Buy	07/22/21	J		
340.					Buy (add'l)	10/29/21	J		

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341. - iShares MSCI ACWI ETF ACWI (X)		None			Sold	07/22/21	K	D	
342. - iShares MSCI Emerging Markets ETF EEM (X)		None			Sold (part)	07/22/21	J		
343.					Sold	08/03/21	J		
344. - VanEck Vectors Junior Gold Miners ETF GDXJ (X)		None			Sold	07/22/21	J		
345. - iShares Russell 2000 Growth ETF IWO	A	Dividend	J	T	Buy	07/22/21	J		
346. - iShares Russell 2000 Value ETF IWN	A	Dividend	J	T	Buy	07/22/21	J		
347.					Buy (add'l)	07/23/21	J		
348.					Buy (add'l)	12/17/21	J		
349. - iShares Russell Mid-Cap Growth ETF IWP	A	Dividend	J	T	Buy	07/22/21	J		
350.					Buy (add'l)	10/29/21	J		
351. - iShares Russell Mid-Cap Value ETF IWS	A	Dividend	J	T	Buy	07/22/21	J		
352.					Buy (add'l)	07/23/21	J		
353. - TIAA-CREF Large Cap Growth Index Fund TILIX	A	Dividend	J	T	Buy	07/22/21	J		
354.					Buy (add'l)	10/29/21	J		
355.					Buy (add'l)	12/17/21	J		
356. - TIAA-CREF Large Cap Value Index Fund TILVX	A	Dividend	J	T	Buy	07/23/21	J		
357.					Buy (add'l)	10/29/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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358. - Harding Loevner Institut Emerging Markets HLMEX	A	Dividend	J	T	Buy	08/03/21	J		
359.					Buy (add'l)	08/11/21	J		
360.					Buy (add'l)	10/29/21	J		
361. - Harding Loevner Intl Equity HLMIX	A	Dividend	J	T	Buy	07/23/21	J		
362.					Buy (add'l)	10/29/21	J		
363.					Buy (add'l)	12/17/21	J		
364. - Ishares Core MSCI EAFE ETF IEFA	A	Dividend	J	T	Buy	07/22/21	J		
365.					Buy (add'l)	10/29/21	J		
366. - Ishares Core MSCI Emerging Markets ETF IEMG	A	Dividend	J	T	Buy	08/03/21	J		
367.					Buy (add'l)	10/29/21	J		
368. - Ishares MSCI EAFE Small Cap ETF SCZ	A	Dividend	J	T	Buy	07/23/21	J		
369. - MFS Intl Discovery Fund MIDLX	A	Dividend	J	T	Buy	07/23/21	J		
370.					Buy (add'l)	12/08/21	J		
371. - Baird Core Plus Bond Fund BCOIX	A	Dividend	J	T	Buy	07/22/21	J		
372.					Buy (add'l)	10/29/21	J		
373. - DFA Inflation Protected Securities Portfolio DIPSX	A	Dividend	J	T	Buy	10/29/21	J		
374. - SPDR Dow Jones Ind Avg ETF DIA (X)		None			Sold	07/22/21	K	D	

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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375. - TIAA-CREF High Yield Fund TIHYX	A	Dividend	J	T	Buy	07/22/21	J		
376. - Vanguard Intermediate Term Bond Index VBILX	A	Dividend	J	T	Buy	07/23/21	J		
377.					Buy (add'l)	10/29/21	J		
378. - Vanguard Short Term Bond Index VBIRX	A	Dividend	J	T	Buy	07/23/21	J		
379. - Ishares Gold Trust IAU		None	J	T	Buy	10/29/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Retirement Account 1 Fidelity Investments managed by Cleary Gottlieb Steen & Hamilton LLP was rolled into Thrift Savings Plan, which is excludable from reporting under Section 102(i)(1). Line 2-3 Retirement Plan did not provide income information nor purchase/sales information.

Investment Account 1 Charles Schwab managed by KF Advisors: Line 24 and 25 were spinoffs from DAG Ventures V QP, LP (Line 33).

RCP Apex II Syndication Partners LP: Line 37 was incorrectly named Riversone RCP Apex II LP Line 77 on previous filing.

Retirement Account 2 Cash Balance Plan: Line 42-59 Retirement plan did not provide income information nor purchase/sales information.

Effective December 1, 2021 Facebook (FB) changed its name to Meta (MVRX). See respective lines for name change.

Investment Account 3 Charles Schwab managed by KF Advisors: Investment Line 70 Vulcan Value Partners VVISX was incorrectly labeled VVPXS on previous filing.

Investment Account 4 Charles Schwab managed by KF Advisors: Investment Line 83 Vulcan Value Partners VVISX was incorrectly labeled VVPXS on previous filing.

Investment Account 5 Neuberger Berman: Investment Line 112 Cintas Corp CTAS was incorrectly labeled STAS on previous filing.

Investment Account 5 Neuberger Berman: Investment Line 124 was a spinoff of Pfizer (PEF), line 105 originally acquired in 2015, resulting in a Column D sale with no prior purchase.

Investment Account 5 Neuberger Berman: Line 87 remainder investments were transferred to Investment Account 10 TIAA Line 278.

Retirement Account 4 Charles Schwab IRA: Line 138 remainder investments were transferred into Retirement Account 8 Line 332.

Retirement Account 5 John Hancock managed by Wilmer Hale: Line 153 investment was rolled into Thrift Savings Plan, which is excludable from reporting under Section 102(i)(1).

Retirement Account 6 Richemont North America: Line 155 investment was sold, with proceeds being rolled into Thrift Savings Plan, which is excludable from reporting under Section 102(i)(1).

Retirement Account 7 Merrill (Bank of America Co): Line 169 Investment was rolled into Thrift Savings Plan, which is excludable from reporting under Section 102(i)(1).

Riverstone Credit Partners - Direct LP: Line 173 investment was inadvertently excluded from previous filing.

Investment Account 9 Charles Schwab managed by KF Advisors: Line 276 cash account opened during the current reporting period.

Citizens Wealth cash account opened during the current reporting period.

Investment Account 10 TIAA: Investment Lines 280-295, 305-320 were transferred from Investment Account 5 Neuberger Berman.

Retirement Account 8 TIAA: Lines 334, 341, 342, 344, and 374 were transferred from Retirement Account 4 Charles Schwab IRA.

FINANCIAL DISCLOSURE REPORT

Page 28 of 28

Name of Person Reporting

Liman, Lewis J.

Date of Report

05/13/2022

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Lewis J. Liman**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544

EXHIBIT 5



UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK
OFFICE OF THE CLERK
500 PEARL STREET
NEW YORK, NEW YORK 10007

RUBY J. KRAJICK
CLERK OF COURT

February 25, 2022

BY ECF AND OVERNIGHT MAIL

Brendan Joseph O'Rourke
Proskauer Rose LLP (NYC)
11 Times Square
New York, NY 10036

David H. Bernstein
Debevoise & Plimpton, LLP (NYC)
919 Third Avenue, 3rd Floor
New York, NY 10022

Re: 1:13-cv-01041-LJL-DCF, Tiffany and Company v. Costco Wholesale Corporation

Dear Counsel,

I have been contacted by Judge Lewis J. Liman, U.S.D.J., who presided over the above-mentioned case.

Judge Liman informed me that it has been brought to his attention that while he presided over the case, his wife owned stock in Costco Wholesale Corporation. His wife's stock ownership is imputed to Judge Liman. That ownership of stock neither affected nor impacted his decisions in this case. However, that stock ownership would have required recusal under the Code of Conduct for United States Judges, and thus, Judge Liman directed that I notify the parties of the potential conflict.

Advisory Opinion 71, from the Judicial Conference Codes of Conduct Committee, provides the following guidance for addressing disqualification that is not discovered until after a judge has participated in a case:

Notice to Counsel of Record

February 25, 2022

Page 2

[A] judge should disclose to the parties the facts bearing on disqualification as soon as those facts are learned, even though that may occur after entry of the decision. The parties may then determine what relief they may seek and a court (without the disqualified judge) will decide the legal consequence, if any, arising from the participation of the disqualified judge in the entered decision.

Although Advisory Opinion 71 contemplated disqualification after a Court of Appeals oral argument, the Committee explained “[s]imilar considerations would apply when a judgment was entered in a district court by a judge and it is later learned that the judge was disqualified.”

If you wish to respond to the disclosure of a potential conflict in this matter, please file your response in the above-named case. Any response will be considered by another judge of this court without the participation of Judge Liman.

Sincerely,

A handwritten signature in black ink, appearing to read "Ruby J. Krajick", with a stylized flourish at the end.

Ruby J. Krajick
Clerk of Court

cc: Hon. Lewis J. Liman, U.S.D.J.

EXHIBIT 6

UNITED STATE DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

Case No.: 1:18-cv-04814-AJN

JODI ROUVIERE, Individually and
ANDRE ROUVIERE, her husband, Individually,

Plaintiff

v.

DEPUY ORTHOPAEDICS, INC., DEPUY
PRODUCTS, INC.,
DEPUY INTERNATIONAL, LIMITED,
JOHNSON & JOHNSON, INC.,
and JOHNSON & JOHNSON SERVICES, INC., and
STRYKER CORPORATION,
STRYKER SALES CORPORATION, and
HOWMEDICA OSTEONICS CORPORATION,
d/b/a STRYKER ORTHOPAEDICS

Defendants

DECLARATION OF JODI ROUVIERE

JODI ROUVIERE, being duly sworn, deposes and says:

- 1) I am Jodi Rouviere and over the age of 18. I am the Plaintiff in the above captioned numbered case and this declaration is based upon my own personal knowledge.
- 2) On July 3, 2024, I read an article in Newsweek titled "Trump Judge's Decision Reversed After Wife's Stock Trade Revealed," which discussed Judge Lewis Liman's recusal from a case due to his wife's stock ownership, creating an "appearance of impropriety."
- 3) This article prompted me to investigate potential conflicts of interest involving Judge Liman and Judge Aaron in my case. I discovered conflicts that should have led both judges to recuse themselves.

4) I discovered through the website (<https://pub.jefs.uscourts.gov/>) that Judge Aaron has been receiving "nonemployee compensation" from his former law firm, Arnold & Porter, which lists Johnson & Johnson as a major client online (*Exhibit 3*). This compensation, totaling \$168,723 annually, is categorized under "Payments under Articles of Partnership" and began in 2019, a year after he was assigned to my case in May 2018. *Exhibit 1, pp. 1-2; Exhibit 2, pp. 1-2.*

5) I also discovered at that time that Judge Liman's 2021 Financial Disclosure report reveals that he owned stock in Johnson & Johnson upon his assignment of my case. Specifically, Liman purchased **additional** Johnson & Johnson stock (JNJ) on March 11, 2021, while DePuy, a Johnson & Johnson subsidiary, had a motion for summary judgment pending before him. After ruling in favor of DePuy on September 17, 2021, he sold this **additional** stock on December 1, 2021, receiving dividends valued between \$15,001 and \$50,000. *Exhibit 4, p. 10, Line 103; p. 21, Line 305; p. 17, Lines 225-226.*

PURSUANT TO TITLE 28 U.S.C. 1746 I, JODI ROUVIERE hereby declare and affirm under penalties of perjury under the laws of the United States of America that the forgoing statement and claims are true and correct. Done this 21st day of October 2024.


JODI ROUVIERE

SOUTHERN DISTRICT COURT -
CLERK OF COURT
500 PEARL ST
NEW YORK NY 10007

(000) 000-0000
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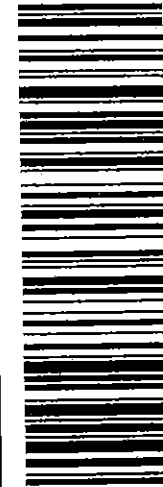
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